

# **Tribal Public Water Supply Source Water Assessment and Protection Program: FY06 Guidance and Procedures for Applying for Funding**

## **Overview**

EPA Region 9 is requesting proposals for the Tribal Public Water Supply Source Water Assessment Program (SWAP) and Source Water Protection Program (SWPP). The purpose of this program is to provide funding to enable tribes to assess any possible threats to their public drinking water supply sources and to develop protection measures to protect these sources against those threats. This assistance will be awarded through §1442 (c)(3) of the Safe Drinking Water Act (42 USC § 300j-1(c)(3)).

**Catalog of Federal Domestic Assistance Number: 66.424**

## **Important Dates:**

Proposals must be postmarked	02/10/06
Funding decisions will be made	03/30/06
Full applications/work plan (SF-424)	04/30/06
(must be postmarked by or otherwise received by Grants.gov)	
Awards will be made	09/30/06

**The above dates may be subject to change.**

## **Please send one copy of the proposal to:**

Tribal SWAP/SWPP Proposals  
U.S. EPA Region 9 (WTR-9)  
75 Hawthorne St.  
San Francisco, CA 94105

## **Contents of Full Text Announcement:**

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# **Tribal Public Water Supply Source Water Assessment and Protection Program: FY06 Guidance and Procedures for Applying for Funding**

## **Full Text Announcement**

### **I. FUNDING OPPORTUNITY DESCRIPTION**

The purpose of the Source Water Assessment and Protection Program is to enable tribes to assess any possible threats to their public drinking water supply sources and to develop protection measures to protect these sources against those threats. Source Water Assessment Programs (SWAPs) include basic elements of delineating source water areas around the drinking water source, identifying potential sources of contamination that may impact the protection area, determining the susceptibility of the identified potential sources of contamination to a drinking water source, and communicating the results to the served community. Source Water Protection Programs (SWPPs) take assessment efforts a step further and require on-the-ground management strategies based on community-wide involvement (e.g., through the design of control measures such as onsite wastewater treatment system management planning, zoning ordinances, public outreach, and contingency plans), to manage identified potential contaminating activities.

Completion of an assessment and source water protection program is advantageous in protecting against the pollution of lakes, rivers, streams, and groundwater that serve as sources of drinking water. Source water protection programs can be part of other protection efforts such as watershed protection, pesticide management, or non-point source reduction.

Guidance on the preparation of work plan proposals is provided in section IV.

### **II. AWARD INFORMATION**

EPA Region 9 Water Division intends to award an estimated \$600,000 to eligible applicants through assistance agreements ranging in size from \$15,000 up to \$60,000 for SWAP and SWPP completion. From the proposals received, EPA estimates that 85-95 percent of projects may be selected to submit full applications.

Substantial involvement is anticipated between EPA and the award recipient. Such involvement will include: EPA participation (technical assistance) in project activities and EPA collaboration on the work plan narrative and organizational structure.

Proposed project start dates should be October 1, 2006. The length of the project can be negotiable.

### III. ELIGIBILITY INFORMATION

Federally recognized tribes within the EPA Region 9 geographic area of: Arizona, California, Hawaii and Nevada who operate at least one public water system (serves at least 25 or more persons and/ or has at least 15 connections) are eligible for funding under this grant. Tribes must have successfully completed the SWAP process before pursuing funding for the implementation of a SWPP. There should be a link between the completed SWAP and the proposed protection measures.

No matching funds are required.

These funds may not be used for the following:

- Activities that are the function of a water utility, such as normal operation and maintenance, monitoring requirements, or construction activities.
- Exploratory work, (both physical and literature searches) for development of new drinking water source(s).
- SWAP and/ or SWPP projects with privately owned water systems

Please do not submit proposals that duplicate the functions of other grant programs.

### IV. APPLICATION AND SUBMISSION INFORMATION

#### **A. Submission of grant proposals and application materials**

All proposals and application materials must be postmarked or submitted via Grants.gov on or before February 10, 2006.

#### **Submission Requirements**

Please note that you may choose to apply under this announcement in one of two ways. If you wish to apply with a hard copy submission, please follow the instructions under “Hard Copy Submission” below. If you wish to apply electronically via Grants.gov, please follow the appropriate instructions under “Electronic Submission” below.

#### **1. Electronic Submission of Final Application**

If you wish to apply electronically via Grants.gov, the electronic submission of your application must be made by an official representative of your institution who is registered with Grants.gov and authorized to sign applications for Federal assistance. For more information, go to <http://www.grants.gov> and click on “Get Started,” and then click on “For AORs” (Authorized Organization Representative) on the left side of the page. **Note that the registration process may take a week or longer to complete.** If your organization is not currently registered with Grants.gov, please encourage your office to designate an AOR and ask that individual to begin the registration process as soon as possible.

To begin the application process for this grant program, go to <http://www.grants.gov> and click on the “Apply for Grants” tab at the top of the page. Then click on “Apply Step 1: Download a Grant Application Package and Application Instructions” to download the PureEdge viewer and obtain the application package and instructions for applying under this announcement using grants.gov ([https://apply.grants.gov/forms\\_apps\\_idx.html](https://apply.grants.gov/forms_apps_idx.html)). You may retrieve the application package and instructions by entering the CFDA number, in the space provided. Then complete and submit the application package as indicated. You may also be able to access the application package by clicking on the button at the bottom right side of the synopsis on grants.gov that says **Apply for Grant Electronically**.

Application/proposal materials submitted through grants.gov will be time/date stamped electronically.

Please be sure to view the additional instructions for applying electronically under this announcement through use of grants.gov that are available for download on Grants.gov.

If you have any technical difficulties while applying electronically, please refer to <http://www.grants.gov/CustomerSupport> and copy [curtis.jamelya@epa.gov](mailto:curtis.jamelya@epa.gov).

## **2. Hardcopy Submission**

### **i. Proposals**

Proposals must be postmarked by February 10, 2006. Please send one copy of the proposal to:

Tribal SWAP/SWPP Proposals  
U.S. EPA Region 9 (WTR-9)  
75 Hawthorne St.  
San Francisco, CA 94105

### **ii. Application Materials**

Final application materials submitted via mail/commercial delivery service must be postmarked by April 30, 2006.

Hardcopy application materials (Region 9 Application Kits), including Standard Form (SF) 424 and SF 424A, may be obtained online at <http://www.epa.gov/region9/funding/app-kit05.pdf>; requested via telephone by calling Region 9’s Grants Assistant at (415) 972-3670 or (415) 972-3702; or by sending an email to [claros.eleanor@epa.gov](mailto:claros.eleanor@epa.gov).

The **original and one copy of your FINAL application and workplan** must be submitted to the address below:

Grants Management Office (PMD-7)  
Policy and Management Division  
U.S. EPA, Region 9  
75 Hawthorne Street  
San Francisco, CA 94105

## **B. Proposal/ Application Materials**

The proposal/application package *must* include all of the following materials:

### **1. SF 424, Application for Federal Assistance**

Complete the form. There are no attachments. Please be sure to include organization fax number and email address in Block 5 of the Standard Form SF 424.

Please note that the organizational Dun and Bradstreet (D&B) Data Universal Number System (DUNS) number must be included on the SF-424. Organizations may obtain a DUNS number at no cost by calling the toll-free DUNS number request line at 1-866-705-5711.

### **2. SF 424A – Budget Information:**

Complete the form. There are no attachments.

The total amount of federal funding requested for the project period should be shown on line 5(e) and on line 6(k) of SF-424A. If indirect costs are included, the amount of indirect costs should be entered on line 6(j). The indirect cost rate (i.e., a percentage), the base (e.g., personnel costs and fringe benefits), and the amount should also be indicated on line 22.

### **3. Narrative Proposal**

The attached document should be double spaced in 12 point or larger print using an 8.5 x 11 inch paper with minimum 1 inch horizontal and vertical margins. The document should be readable MS Word or Word Perfect WP6/7/8 for Windows and consolidated into a single file. See Section IV, part C of this document.

## **C. Proposal Format and Content**

Proposals should follow guidance provided below. It is recommended that confidential information not be included in the proposal. Please note that research is ineligible for funding as well as other ineligible costs outlined in 40 CFR Part 31.

### **The following format should be used for all proposals:**

All interested in applying must prepare and submit a proposal which will include a

summary, general background information, budget, and program work plan. Suggested elements for inclusion in these sections are listed below.

## Summary

- a. Purpose and Goals.** Briefly describe the purpose and goals of the project. Include information on what will be accomplished, how it will serve the tribal members and protect, and preserve the drinking water sources.
- b. Cost.** The total cost of the proposal and a detailed budget justification should be included in this section.
- c. Staff Capability.** The applicant should also identify existing staff capability to carry out the objectives/activities of the proposal, and additional training that might be required of existing staff. If the applicant does not have sufficient staff, the applicant should identify staff required, mechanism for hiring, and time-frames of the potential project/hiring. If the applicant intends to contract out any of the work, this should be explained in detail, and justified as to how this will help to develop tribal infrastructure and capabilities. EPA requires that any such contracts be competed, pursuant to 40 CFR Part 31.36.

## General Background Information

A brief general introduction giving background information on the Tribe and public water supplies on Tribal lands should be provided. A sample outline with required information is provided below:

A. Reservation size and population; drinking water supply sources; number and ownership status (tribal or privately owned) of public water supply systems; type of public water system (ground water or surface water based); population served by each public water system; surrounding communities and activities (both on and off reservation) that could affect the reservation's drinking water supply sources, such as farming, industry, agricultural production/processing, livestock, septic system failure, etc.

Please prepare and include a table similar to the following example:

System Name	Source Name	Population per Source	Population Per System	Source Type	Well Depth	In Use (Y/N)
Main System	Well 1	25	150	ground water	150 ft	Y
Main System	Well 2	125	150	ground water	200 ft	Y

B. Description of any existing or proposed tribal utility authorities or inter-tribal utilities or consortia that deal with public water supplies.

- d. Any additional information which would help EPA reviewers understand reservation conditions and needs related to drinking water supply source protection issues, and management and organizational needs related to understanding and meeting federal drinking water regulations.

## **Steps for Source Water Assessment Projects (SWAP)**

Work plans should include the following steps in completing the assessment and will be evaluated accordingly.

### **Step 1: Delineate the source water protection areas**

A delineated area is the portion of a watershed or ground water area that may contribute pollution to the water supply. Delineations should map the areas that are vulnerable to ground and surface water contamination (source water protection areas). This may include the area surrounding a well or surface water in-take location, in addition to zones of recharge outside of these areas. EPA encourages surveying drinking water sources and respective source water protection areas using a Global Positioning System (GPS). The work plan should indicate the number of wells to be assessed and the proposed delineation method.

Delineation methods include:

- Arbitrary Fixed Radius
- Calculated Fixed Radius
- Uniform Flow Equation
- Delineations using Modeling (e.g. WHPA, WhAEM, Uniform Flow, Modpath, etc.)

NOTE: Wellhead and geologic data collection must be included in the work plan as a task as part of the delineation and must be done before delineating. Data collection can include: well driller logs, pump tests, USGS information, etc.

### **Step 2: Conduct an inventory of potential sources of contamination within the delineated source water protection areas.**

Identify all significant potential sources of drinking water contamination within a source water protection area. The resulting contamination source inventory must describe the sources (or

categories of sources) of contamination either by specific location or by area. EPA recommends that potential sources of contamination be surveyed using a Global Positioning System (GPS).

In addition, an Inventory process should include:

- Identification of significant potential sources (including underground injection control (UIC) wells such as septic systems, industrial waste disposal wells and storm water drainage wells);
- Identification of contaminants of concern from each identified source (should also refer to existing water quality data for each of the sources to point out existing contaminants of concern); and
- Review existing sources of information for the geographic area (e.g., use Federal, State, and local databases).

### **Step 3: Susceptibility analysis determination for each public water system**

Determine the water supply's susceptibility to contamination from identified potential sources of contamination. The susceptibility determination can be either an absolute measure of the potential for contamination of the public water system or a relative comparison between sources within the source water protection area. This step enables the Tribe to determine which sources are most threatening to their water system.

The susceptibility determination may be based on:

- Hydrologic and hydrogeologic factors such as ground water or surface water movement;
- Characteristics of the contaminants (e.g., toxicity, environmental fate and transport);
- Characteristics of the potential source of the contaminant (location, likelihood of release, effectiveness of mitigation measures); and
- Other factors such as well intake and well integrity.

### **Step 4: Making results of assessment available to public**

Distribute the source water assessment results to the public. Assessments are not considered complete until results are

communicated to the public. It is recommended that results be included in the Tribe's Consumer Confidence Reports (CCR). Results of the assessments can also be disseminated in public meetings, newsletters, posted at public building, via radio announcements, direct mailings, etc.

## **Measures for Source Water Protection Programs (SWPP)**

Tribes must have successfully completed the SWAP process before pursuing funding for the implementation of a SWPP. A typical first step in developing SWPPs is creating a source water protection management plan. Management plans should be designed to manage potentially contaminating sources and activities identified in completed SWAPs.

Below is a list of suggested management measures and protection tools which may be utilized as SWPP measures. For more examples, see *Protecting Drinking Water: A Workbook For Tribes* (see Section VII). For activity eligibility, see Request For Proposals Sections III and V, or contact EPA.

### **Common Protection Measures/Tools**

- Onsite wastewater treatment system Management Plan
- Zoning Ordinances
- Public Outreach and Education
- Source Prohibitions
- Subdivision Ordinances
- Best Management Practices (BMP)
- Contingency Plans

### **Protection Measure Example: Onsite Wastewater Treatment Plan**

Onsite wastewater treatment systems (OWTS), especially septic systems and wastewater treatment plants, are commonly found on Tribal land in Region 9. These systems typically serve casinos, housing clusters, public buildings, daycare centers, and stores. Source Water Assessments often identify OWTS as potential contaminant sources (PCS) which may pose human health risks (e.g. viral and bacterial illness), as well as threats to the environment (e.g. water resource quality). OWTS failure is often the result of inadequate management attention. Effective management is key to ensuring treatment technologies perform as designed and efforts to protect public health are upheld. Development of an OWTS management plan establishes appropriate management strategies to help minimize these risks. Implementing such a plan can prevent subsequent need for repair/replacement for systems that lack management attention. The following is a list of components to include in a OWTS management plan:

1. Locate and inventory all existing OWTS and relevant hydrogeologic conditions on the reservation.
2. Approve all new OWTS construction prior to building.

3. OWTS operation and maintenance plan.
4. Develop and incorporate OWTS management into reservation ordinances.
5. Public education and outreach.
6. Licensing/certification of all service providers.
7. Adequate records management.
8. Periodic program evaluations and revisions.

### **Protection Measure Example: Contingency Plan**

Contingency plans are documents that establish up-to-date procedures necessary to utilize alternative water supply sources in the event of contamination or loss of existing drinking water sources (i.e., alternative water sources in the event of contamination). The following is a list of components to include in a contingency plan:

- Description of Water System
- Summary of Potential Sources of Contamination
- Emergency Response Procedures to address each scenario
- Alternative Water Supply Options
- Priority Water Users and Conservation Measures
- Notification Roster (i.e., list of contacts in the event of a contaminant spill)
- Public Education/Media Relations
- Training and Practice Runs
- Event and Action Log

### **Environmental Results**

EPA Order 5700.7, "Environmental Results Under Assistance Agreements" applies to projects funded under this program. EPA will work with selected applicants to include a description of how selected projects fit in with EPA's Strategic Plan. Workplans must include all applicable strategic goals, objectives, and sub-objectives.

### **Workplan Format**

The proposal should include a detailed work plan which states the tasks to be completed, the outputs and deliverables to be accomplished, the amount of time devoted to each task, the staff responsible to complete the work, the time schedule by which tasks are to be started and completed, and the funding required for each task. Please note that proposed workplan task schedules should allow sufficient time to complete each task.

## Sample Table

Task Description	Deliverable	Hours (entity)	Schedule (start date to end date)	Funding
1. Wellhead and geological data collection	Well pump tests, drillers logs, maps (copies)	WQ Specialist (10hrs) PO (15hrs)	10/1/06-11/30/06	\$1000
2. Delineation of source water protection area using WhAEM software	Delineation Report - GIS Maps of Source Water Areas	WQ Specialist (80hrs) PO (35 hrs)	12/1/06-1/31/07	\$11,500
3. Potential contamination source (PCS) inventory	Contaminant list	WQ Specialist (70hrs) PO (40hrs)	2/1/07-4/30/07	\$15,000
4. Susceptibility Analysis	Susceptibility report ranking PCS found in Task 3.	PO (30hrs)	4/1/07-5/30/07	\$3500
	Total			\$...

The work plan must clearly state the deliverables at the conclusion of the awarded grant. These outputs should reflect the four SWAP steps and/or SWPP protection measures (SWAP steps and SWPP protection measures are outlined on the following pages).

A work plan must also account for quarterly reports, (see Section VI of this notice).

## V. APPLICATION REVIEW INFORMATION

EPA will evaluate proposals based on the following criteria:

- Demonstration that the tribe will build capacity in this area and the obtained information will be used in developing a protection program.

- Identification of the necessary steps in developing a SWAP or appropriate approach to a SWPP (see Section IV for SWAP steps and suggested SWPP measures).
- Demonstration of public health need and/or the need to develop tribal capacity to establish base level environmental protection of drinking water supply sources, and how the workplan addresses such needs.
- Qualified staff and/or capability to administer the grant and carry out the project, including performance on past EPA program grants.

Proposal disqualification will be automatic if the activities in the work plan are determined to be the function of a water utility, such as operation and maintenance, or construction of facilities.

The proposals will be evaluated by EPA staff on a pass/ fail basis. The criteria above will have essentially equal weight. Final selection will be made by the EPA Tribal Source Water Protection group. Selected applicants will be notified and requested to submit a full application (including SF-424 and EPA approved final workplan).

## **VI. AWARD ADMINISTRATION INFORMATION**

Proposals that are selected for continuance in the process will be sent an application kit for funding. These recipients will be invited to submit a detailed work plan and a completed application for funding. Receipt of an application kit is not a guarantee of funding. Deadlines must be met and the work plan must be approved by the EPA Project Officer for funding to occur. Award notices will be sent to selected recipients within 14 days of workplan negotiation completion.

Tribal entities will follow 40 Code of Federal Regulation (CFR) Part 31, 40 CFR Part 35 Subpart B, Office of Management and Budget (OMB) Circular A-87.

**Reporting:** Quarterly and annual project status reports and a final report will be required. Quarterly reports are due within 30 calendar days after the end of each Federal fiscal quarter. Quarterly reports for both SWAP and SWPP projects should include: summary and status of each task as identified in work plan; explanation of delays and expected date of completion, if applicable; copies of any deliverables; an expenditures per each task to date. The final report for SWAP and SWPP projects should summarize the project and be a synopsis of the items listed above. The final report of a SWAP project should also identify potential SWP measures to be implemented.

**Disputes:** Procedures at 40 CFR 30.63 and 40 CFR 31.70 will apply.

**Confidential Business Information:** It is recommended that confidential information not be included in the proposals. However, in accordance with 40 CFR Part 2.203, applicants may claim all or a portion of their application/proposal as confidential business information. EPA will evaluate confidentiality claims in accordance with 40 CFR Part 2, Subpart B. Applicants must clearly mark applications/proposals or portions of applications/proposals they claim as confidential. If no claim of confidentiality is made, EPA is not required to make the inquiry to the applicant otherwise required by 40 CFR Part 2.204(c)(2) prior to disclosure.

EPA Reserves the right to reject all proposals and to not make any awards.

## **VII. AGENCY CONTACTS**

Jamelya Curtis, Project Officer  
(415) 972-3529  
[curtis.jamelya@epa.gov](mailto:curtis.jamelya@epa.gov)

## **VIII. OTHER INFORMATION**

*Protecting Drinking Water: A Workbook for Tribes* is produced by Water Education Foundation with funding and assistance from EPA. It provides guidance on understanding the Source Water Assessment and Protection Programs and their importance. *Protecting Drinking Water: A Workbook for Tribes* is available online at the following URL: <http://www.watereducation.org/specialprojects.asp#tribalbook>. To request a hard copy, contact EPA. Not all SWAP and SWPP activities and measures listed in *Protecting Drinking Water: A Workbook for Tribes* may be funded under this grant. Please refer to Section III of this notice for guidance. Contact EPA for sample OWTS Operation and Maintenance Tracking Sheet.